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ABSTRACT

The literature published during the decade of the 1970s relating to the support of higher and postsecondary education was analyzed to uncover trends, patterns, and discontinuities, and to forecast alternative directions and trends in the future support of college education. Seven broad topics were covered: general trends and the economics of higher education; governmental fiscal support to higher education; external funding and institutional development; student financial aid; institutional financial management; fiscal planning and budgeting; and reduction, retrenchment, and reallocation. Three patterns of publications activity were identified. Early in the 1970s, an initial publications peak was coincident with the public debate over funding higher education, supporting institutions versus students, questions about the value and the economic return of higher education, and increasing concerns about sustaining higher education. Institutional financial management showed a variation in emphasis and content in the 1970s. Continuing areas of concern, and thus publications activity, will include the topics of planning, budgeting, and student aid. The cyclic pattern will likely continue and be represented by governmental concerns about higher education. (SW)

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TREND ANALYSIS OF SUPPORT TO POSTSECONDARY EDUCATION

by

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Introduction

Few areas of concern have captured the interest and attention of scholars and researchers of higher education as much as the support of institutions, programs, and students. Broader than merely educational finance, support of higher and postsecondary education includes a wide range of issues and questions irvolving budgets, economics, funding, and finance involving institutional, governmental, and social policy alternatives. These alternatives bring into relief a multiplicity of scenarios for the future of higher and postsecondary education. Expanding the half-cost rule in federal grants, aiding students of all ages including those attending part-time, internal reallocation of resources, reducing funding for applied research, eliminating tenured faculty during exigency, and restricting student aid to demonstrated levels of academic achievement each represent deliberate or implicit policy choices affecting future students and institutional futures in higher and postsecondary education.

The decade of the 1970s was an abrupt change from the expansionist years of the 1960s. The "fast deceleration of growth" predicted by the Carnegie Foundation really never materialized for most institutions (1975). Rather, the decade was characterized by enrollment stability, excess demands on a limited resource base, and a remarkable increase in the sensitivity of institutions to the external environment and the competition for resources in that environment. The enterprise of higher education emerging from the decade of the 1970s was not the same enterprise which entered the decade. In the early years, higher education was still affected by the shock of the campus violence of the late 1960s. As one experienced

policy maker put it, higher education was "reactive" to the circumstances and realities in the external world (Moynihan, 1975). But, by the end of the decade many institutions had awakened to the new conditions in which they had to function. Crisis management had given way to strategic planning in order either to avoid or to advance beyond the "three Rs of the 80s," reduction, reallocation, and retrenchment. (Mortimer and Tierney, 1979).

The purpose of this project was to identify the literature published during the decade of the 1970s relating to the support of higher and postsecondary education; to analyze the literature in order to uncover trends, patterns, and discontinuities; and to forecast alternative directions and trends in the future support of higher and postsecondary education.

Research Procedures

There were two phases in this research project. First, the literature base was identified and examined, and second, trend analyses were performed for each of seven topics within the broader category of support to higher and postsecondary education.

Literature Base. In identifying the literature base, the dimensions of chronological time, scope, and type of source were considered. The chronological time period included was principally the decade of the 1970s, although articles were included through the initial half of calendar year 1983 in order to reflect decisions made by the present Administration in the federal government. Regarding scope of coverage, published sources appearing in the library card catalog were included, and an ERIC search

(both ED and EJ sources) resulted in over 2000 sources. By restricting key words in the title to financing, budgeting, funding, economic, resource, and student aid in combination with higher and postsecondary education, the final list included approximately 1000 sources. Types of sources excluded were dissertations, speeches and commentaries, reports, unsubstantiated articles, and sources with a focus on a single agency, institution, or state.

The initial computer-based ERIC search was done in January, 1983 with a follow-up search by hand conducted in July, 1983. Approximately 1000 sources were identified, and the final list included 976 annotated entries.[1] When the project began, we had a general notion about the identity of specific topics, and they included institutional budgeting and finance, student financial aid, and governmental support of higher education. The final list of topics included the seven listed below:

1. General trends and the economics of higher education
2. Governmental fiscal support to higher education
3. External funding and institutional development
4. Student financial aid
5. Institutional financial management
6. Fiscal planning and budgeting
7. Reduction, retrenchment, and reallocation

We do not claim that this list of topics is exhaustive, because any of the topics could have been further divided into more discrete issues. For example, student financial aid could have conceptualized as separate topics of grants and scholarships, loans, aid administration, and the impact of financial aid. In this project, judgments were made about the size, scope,

[1] A full list of the 976 sources is not included in this paper for reasons of space. Garland is publishing this work as one of the Social Science Reference series. In this paper, we have included the 127 sources from the larger annotated bibliography which served to illustrate trends.

and internal consistency of each of the seven topics. Further, it is recognized that any one of these topics could serve as the focus of a literature search which would produce far more sources than we found. However, our effort was delimited by the inclusion of the fiscal support of higher education as a major criterion, in fact with one or more of the six aforementioned key words in the title or abstract of the source.

As a validity check to our efforts, several steps were taken. More than one university library was utilized, and the list included one of the largest university libraries in the nation at the University of Illinois, Urbana-Champaign. Following the computer-based ERIC search, the Resources in Education Index was used frequently as a spot check, and it was used extensively as a double check in more recent years and as a primary source for 1982 and 1983. After receipt of the book manuscript, Garland had the manuscript reviewed for content and comprehensiveness by a board including at least two professors who teach Higher Educational Finance in universities.

A list of "core journals" was compiled based upon the frequency with which articles appeared which were related to the topics included in the project. From 1970 through June, 1983, every issue of every volume of these journals was examined by hand to determine if relevant articles should be annotated. The journal list appears below:

Academe
Change
College and University
College Board Review
Community/Junior College Quarterly of Research and Practice
Educational Administration Quarterly
Educational Record
ERIC/AAHE Research Reports
Journal of College Admissions
Journal of College Student Personnel
Journal of Educational Finance
Journal of Higher Education
Journal of Human Resources
Journal of Student Financial Aid
Liberal Education
NASPA Journal
New Directions for Community Colleges
New Directions for Higher Education
New Directions for Institutional Research
New Directions for Student Services
Research in Higher Education

Note: The Economics of Education Review, begun in 1981, is of particular value to those with interests in the economics and financing of education including higher or postsecondary education.

For this paper, we went beyond the compilation of the annotated bibliography. The analytic framework for this research drew upon a method of data synthesis. According to Pillemer and Light, data synthesis uses "formal procedures for combining the results from several empirical studies" (1980, p. 177). Pillemer and Light contrast this rigorous procedure of applying precise analytic procedures to a collection of studies with simply reading through studies and reaching generalized impressions. One of the strategies for data synthesis described by Pillemer and Light was utilized in this research, and that was the investigation of the interactions between study attributes and outcomes. In this approach, the assumed hypothesis of searching for an ultimate truth or a single grand finding is rejected. Instead, the researchers are cognizant of patterns, variations between studies, and discrepancies between and among studies. Certain outcomes may provide clues as to what is working as well as what is not working. By maintaining sensitivity to similarities as well as differences among studies, larger trends may be uncovered. This was the intended direction of this research.

Analysis of Subtopics

In this section, we will identify the subtopics which emerged within each of the seven specific topics. Each of the seven topics and the varying subtopics will be described and discussed in reference to the trends which were evident in the published literature during this 13½ year period.

General Trends and the Economics of Higher Education. Five subtopics emerged within this topic. They included the economics of higher education, more specifically redistribution, tax incidence, and supply/demand; the Carnegie studies including those oriented to economic concerns; "state of the art" articles; articles with a distinctly pessimistic outlook about higher

education; and more recently, region-specific studies or studies oriented to particular concerns.

The initial half of the 1970s, based upon articles within this topic, was characterized by nearly 30 studies pertaining to the redistributive effects of higher education, beginning with the now-acclaimed California study by Hansen and Weisbrod (69). Most of these studies had appeared by the mid-1970s, and few appeared late in the 1970s. This topic was one where the benefits of higher education were examined and questioned especially in states having less progressive tax structures. A number of these articles took issue with the methodology employed by Hansen and Weisbrod, some coming to alternative conclusions about higher education benefits.

The Carnegie studies included those involved in the Carnegie Commission on Higher Education, the Carnegie Foundation on the Advancement of Teaching, and the Carnegie Council on Policy Studies. The Carnegie Commission studies were completed largely by mid-decade.

The "state of the art" articles may be placed in two groups. Studies early in the decade tended to deal with the place of higher education in society (Newman, 1971, 1973), or studies which dealt with a national debate about the role of tuition, public-private relationships, and public policy issues regarding financing higher education (Bowen, 1974; Carnegie Commission, 1973). Few articles of this type appeared in the middle of the decade, but by the end of the 1970s a number of articles began to reassess higher education, its financing mechanisms, and the prospects for higher education in the 1980s (Leslie, 1980; Tuckman & Whalen, 1980).

The "pessimistic" articles generally questioned the heavy public investment in higher education, whether the academy could be sustained at present

levels, and the costs of an overeducated society (Freeman and Holloman, 1975; Freeman, 1976; Froomkin, 1975). More boldly, Ashworth cautioned that higher education was in decline (1979).

Since the beginning of the decade of the 1980s, there have been articles directed more particularly at regional issues (Hoy & Bernstein, 1982), and at more specific policy concerns such as community colleges (Breneman and Nelson, 1980), and private or independent institutions (Lewis, 1980).

The reason for the higher rate of publications at the beginning of the 1970s was the confluence of three types of articles: 1. economic studies dealing with redistribution, the demand for higher education, and tax incidence; 2. the works published or sponsored by the Carnegie Commission; and 3. state-of-the art pieces dealing broadly with the status and standing of higher education, the overall financial support of higher education, and the likely prospects for higher education as the academy entered a period characterized by enrollment stability or decline, external funding problems in the arena of public budgeting, and the cost spiral of indirect expenditures, maintenance, and energy.

The absence of similar peaks toward the end of the decade was due to some drop-off in economic studies and Carnegie publications. The Carnegie Foundation and the Carnegie Council continued to publish studies oriented to more focused concerns such as financial aid, admissions, and institutional management strategies. The state-of-the-art pieces at the end of the 1970s were reassessment articles, projections of a fiscally tight future in the 1980s, and ways in which institutions might cope with or overcome these problems.

There appears to be renewed interest in the economics and financing of higher education in the 1980s, however. The demand and benefits issue was revisited with the publication in 1980 of several articles on the topic in the

Journal of Human Resources. The appearance of a new journal, the Economics of Education Review, beginning in 1981 and resumed in 1984 after a one-year interruption in 1983 due to problems with the publisher augurs for the release of scholarly works pertaining to the economics of higher education generally and to particular topics specifically. These topics include the benefits of college attendance, financial aid as a determinant of college choice, studies of income distribution, and fiscal policy analyses. Finally, the changing nature of intergovernmental relations would signal increased state interest in education and in higher education. This interest bears a direct relationship to economic and fiscal studies, especially those containing policy impact statements, evaluation and assessment of current and projected legislation, and exploration of policy alternatives.

External Funding and Institutional Development. There were a variety of special issues and concerns within this topic. In general, however, the topic demonstrated a major effort by the academy to reach out to external publics and constituencies in order to increase revenue potential thus ensuring the financial health of institutions. This topic might be subdivided into the subtopics of external fund raising and resource management. These two subtopics did not emerge one after the other or in reference to specific time frames. There was relatively equal concern for both areas throughout the decade. Initially in the 1970s, concerns were focused on ways to enhance fund-raising strategies with specific suggestions in areas such as developing or organizing deferred giving programs (Bucklin, 1972; Davis, 1971; Levi, 1973), improving grant-writing activity (Menefee, 1971), and maximizing investment income (Haag, 1971; Wright, 1972). As one might expect, there was frequent use of case examples of colleges and universities which had demonstrated success in fund raising, investment management, and increasing development activity.

The primary difference between the literature on this topic during the early 1970s and the literature of the late 1970s was in degree, not in kind. As the decade evolved, the degree of specificity, complexity, and awareness of fund raising and development issues increased markedly. Rather than merely general exhortations about the importance of improving the underdeveloped area of fund raising, articles were published which dealt with specific linkages and relationships with corporations (Carnevale, 1982; Council for Financial Aid to Education, 1978 and 1979; David, 1982; Fey, 1977; Hamall, 1974; Milligan, 1982; Ricklefs, 1974) and the particular mechanisms of fund raising. The latter included how to use direct mailings more effectively in annual fund giving (Cover, 1980), how to plan a phonothon (Stephany, 1980), ways to cultivate current students to become future donors (Stephany, 1980), the president's key role in fund raising (Fisher, 1980; Sweet, 1980), and managing annual fund raising drives such as the annual alumni giving program (Welch, 1980; Whittier, 1980).

In summary, this area can be viewed as having changed from an orientation toward external funding as an income supplement to external funding as an integral part of the overall revenue side of the financial management of colleges and universities. Nowhere is this more valid than in private colleges and universities that have relied upon alumni, fund raising, and endowment management as critical sources of support for institutions. In a sense, these areas have been spawned in public institutions because of the necessity for these institutions to supplement their subsidies from state and other sources which have not kept pace with cost increases, inflation, and other demands for expenditures.

Institutional Financial Management. The topic of institutional financial management dealt with the strategies, methods, and ways in which colleges and

universities were able to manage their operations and resources during the decade of the 1970s. More specific subtopics included expenditure control, fiscal management, allocations and revenue, personnel, and quality.

Expenditure control included all references to spending educational funds regardless for what purpose. Consistently, authors argued that the key to restoring fiscal stability was to reduce expenditures, and in the early part of the decade the focus was on reducing fixed costs (Alter, 1971; Binning, 1969; Bolton, 1971; Doi, 1970). An exemplar of the period may have been the studies of Jellema who emphasized that growing budget deficits were leading to a precarious financial position of a growing number of private institutions (1970, 1971, 1972, 1973). Related to expenditure control was the subtopic of fiscal management where there were many calls for reviewing the daily operations of institutions by way of increasing efficiency. Specific concerns included salary administration (Van Fleet, 1972), review of programs and course proliferation for fiscal reasons (Acker, 1972), and investment of surplus cash (Lykins, 1973). Wynn cautioned that increasingly expenditures were in excess of income, and that reducing operating costs was the key to preventing financial distress from becoming a larger crisis of quality distress (1974). There were a number of articles dealing with what might be termed "reactive planning," that is, how institutions might deal with identified problems through pragmatic responses. Early in the decade, there were "quick fix" articles explaining how to deal with short-term problems such as managing debt financing and more aggressive student recruitment. Later in the decade, the issue became more global than a temporary period of fiscal belt tightening. As an example, Anderson studied 40 formerly single-sex or secular colleges that had become co-educational or less secular in the 1970s; using CUES and financial profiles, he concluded that finances were the prime reason for these institutions losing their more unique identity of the earlier

period (1977). As a subset of fiscal management, the concern about physical facilities and plant maintenance became more evident as the decade progressed. Toper argued that campus buildings might be recycled instead of replaced (1976). Coffield and Gaither warned that the growth of physical plants had created an operating fiscal burden merely compounded by the energy crisis, and that institutions should be extremely cautious about constructing new buildings of any kind (1976).

Relatively little attention was placed on the allocation process as being related to expenditure control or to fiscal management. The earlier articles dealing with allocations and revenue tended to be more theoretical, essentially arguing that the process of allocations should be related more integrally to institutional planning. The emphasis, however, was upon expenditure reduction not on increasing revenue or reallocating resources. More attention was given to revenue strategies and reallocation at the end of the decade. Patterson, for instance, advocated interinstitutional cooperation as a way to conserve resources (1979), and Dickmeyer and Farmer described a model of "financial flows" as well as actions for ameliorating fiscal problems (1979).

The personnel area, notably a concern about faculty, was especially interesting. Initially, articles pertaining to faculty began to utilize nearly a "victim" perspective. The faculty were seen as the victims of salary decline, filled tenure lines, and lacking new talent within academic ranks. By the end of the decade, the concern had shifted to faculty <u>as the problem</u>, not the victim. With the focus on faculty as a problem for the institution, the thrust was on issues such as the rate of promotion through academic ranks, fringe benefit costs, and ways to reduce instructional costs. Merit pay, the supplemental income of faculty, the role of part-time faculty,

and increasing faculty productivity (Kruegger, 1979) also became issues of concern.

The concern for quality was the final subtopic within the area of institutional financial management. There appeared to be a relatively consistent concern about quality throughout the decade, but the locus of concern varied at different times. Initially, articles about quality were tied primarily to the private or independent sector, especially on growing budget deficits (Jellema, 1970, 1971, 1973), on external controls (Alter, 1971), and on the pressures for changing traditional liberal arts curricula (Geiger, 1971). As the decade evolved, the emphasis shifted in at least two respects. First, quality became a much more generalized concern beyond private colleges. Public institutions became concerned about quality and indeed, at the beginning of the 1980s Finn explained how quality and excellence had become a premier educational policy concern for the new decade (1980, 1981). There was a second way in which the concern about quality changed in the 1970s, and that was the way in which quality was conceptualized as being interrelated with such matters as plant maintenance, student admissions or graduation criteria, and faculty productivity. While it was common to observe the frequency with which quality was evidently linked to these other diverse issues, it was equally common to find quality, itself, not operationally defined. Little attention was given to ways in which quality might be sustained or even improved.

Governmental Fiscal Support of Higher Education. In 10 of the 13 years, publication production occurred at an even rate, thereby demonstrating a stable pattern of concern about governmental fiscal support of higher education. There were only two instances where there was a departure from this pattern, and this included calendar years 1974 and 1979.

It was obvious that there would be subtopics of state and federal levels of government. Other subtopics were not evident until additional analysis was performed. The following subtopics emerged: aid to private colleges, community colleges, a national foundation for higher education, concerns related to tax issues, tuition, and governmental regulation or accountability.

Sources with a state focus were quite evident in the beginning of the 1970s. There was greater variability within the federal area of concern with articles focused on major federal legislation occurring in 1972, 1976, 1978, and 1980. In three of four instances, the number of "state" articles decreased as the number of federal articles increased, and these included 1971, 1973, and 1975. In 1976 through 1978, there was a constant stream of articles pertaining to both state and federal issues. Likely explanations include growing fiscal problems in higher education mid-decade and the National elections in 1976.

There was, however, a difference in content and emphasis between articles pertaining to the federal government in the initial years of the decade (1970-1975) versus the last half of the decade (1976-1980). The initial concern was focused largely on increasing governmental support to higher education by way of major federal legislation. More recent concerns pertained to the larger significance of that increase in support, what was the government "getting" or "expecting" for this support?, and what should be the role of the federal government in higher education? Finn's article was aptly titled, "A Rose by Many Other Names?" (76-77).

There were six areas of concern identified in this analysis. Two demonstrated relatively "even" concern as shown by the number of articles produced throughout the decade, and these included public aid to private

colleges and funding community colleges. Three issues were contemporary within a short time frame, and these included a national foundation for higher education popular during the turn of the decade from the 1960s to the 1970s, the Proposition 13 concern late in the 1970s, and a concern about governmental regulation and the broader label of accountability beginning in 1976. One might say that concern about tax issues and the support of higher education from tax sources began to be demonstrated after the passage of the major legislation of 1972. This analysis identified sources focused on tuition in the mid portion of the decade, undoubtedly reflecting a growing awareness of revenue sources and the importance of tuition. Tuition will be included in the topic of student financial aid, elsewhere in this paper.

In the early part of the decade of the 1970s, one might say that the primary concern about government was in relation to its level of support. Both the federal and state governments responded to higher education, and more broadly to society, by passing legislation design to increase governmental fiscal support. With that support, however, has come a series of reactive issues and concerns, such as regulation and control (Scott, 1978). There also has been concern targeted to more specific issues such as funding research, the outcomes of higher education, and the recent phenomenon of revenue shortfall in the states (Wittstruck, 1982). Articles have and will continue to appear reexamining the role of government and its relationship to higher education (Folger, 1977). There have been commentaries about the shifting priorities of government, itself, most notably from access and opportunity to quality and excellence (Finn, 1981; Peltason, 1981).

In summary, the preeminence of finance and the concern about fiscal support as the major issue of concern surpassing the governance issue, was identified and discussed by Martorana and Smutz (81).

Student Financial Aid. Nine of the 13 years showed consistent increases or at least a pattern of continuous or stable publication production. Only in four years were there decreases. and o' these four years only in 1981 did there appear to be a substantial, catastrophic drop-off from the previous pattern.

Fourteen possible subtopics were identified. They included equal educational opportunity, aid administration, merit-based awards, need analysis, impact of aid on GPA and persistence, loans, state scholarships, tuition concerns, community colleges, middle class concerns, private colleges, vouchers, student choice, and retrenchment or decline.

The even growth rate of publications clearly is the outstanding feature of this topic. It clearly demonstrates that student financial aid has become a major topic in higher education, one of growing concern to administrators as well as students. One might have expected that publications volume might be targeted to the passage of major federal legislation, but this generally was not true in student aid. A possible exception might have been 1980 when a very large number of publications were produced. Yet, the content of these publications appears to demonstrate recognition of the importance, necessity, and viability of student aid than about publications geared more toward the 1980 Reauthorization.

Interestingly, the subtopics within student aid do not reflect chronologically-based issues and concerns unlike some of the other topics. In student aid, therefore, we see a generally continuing concern about such things as equal educational opportunity, loans, community colleges, and aid to private colleges. To be sure, some subtopics reflect particular concerns at specific times. These would include periodic concern about educational vouchers,

income-contingent loans when an institution adopts such a mechanism, and increased concern about aid to middle-class families at the time of the passage of the Middle Income Student Assistance Act of 1978.

Contemporary issues include not only the general subtopic of loans, but more particularly loan defaults, their rate, and characteristics of defaulters. Since 1980 and not unexpectedly, there have been concerns about federal reductions in student aid, the relationship between aid and retention or persistence, and recent and innovative approaches to loans or more generally to student financial aid.

Emerging issues undoubtedly will be associated with contemporary fiscal concerns within institutions. The impact of aid on such things as student choice, on private versus public colleges, and on persistence will continue to be studied. Obviously, there is considerable concern about enrollment and the impact of aid on enrollment; one could expect that this concern would continue. The area of student aid is an example of where studies pertaining to impact and implementation will become more popular and needed, rather simply than studies about formulation and distribution of aid revenue.

Fiscal Planning and Budgeting. The steady increase in the rate of articles and sources published in fiscal planning and budgeting serves as an illustration of the way in which the topic emerged, grew in intensity, and became redefined in the beginning of the 1980s. As is well known, in the early portion of the decade much of the planning literature was an outgrowth of the literature dealing with planning-programming-and budgeting systems characteristic of the popularity of the topic in the 1960s. A seminal article was published by Peterson which indicated that PPBS, if implemented with full faculty and administrative commitment, had greater potential than most other

budgeting and information system changes (1971). In addition to PPBS, the planning literature of the period was concerned with statewide planning or, more particularly, with statewide master planning (Budig, 1972; Education Commission of the States, 1971; Glenny, 1973).

Toward the middle portion of the 1970s, the planning and budgeting literature began to shift more toward fiscal planning and in budgeting, formula approaches became important (Gross, 1973; Hale and Rawson, 1976; Hummel and Spalding, 1972; Linhart and Yeager, 1978; Maw, Richards and Crosby, 1976; Meisinger, 1976; Moss and Gaither, 1976; Temple and Riggs, 1978). One case example of interest, demonstrating ways in which planning and budgeting were interrelated, was the planning model of Stanford University. It was developed to deal with financial matters such as tuition, enrollment, return from endowment, budget size, and deficit or surplus size. The critical concept was that of long range financial equilibrium (Massy, 1975). Planning and budgeting concerns became interrelated with other issues such as evaluation, public accountability, and costing (Balderston, 1974; Boutwell, 1974; Folger, 1977; Glenny, 1973; Green, 1975; Lyons, 1978; McManis, 1976). In order to more effectively plan and budget, it was necessary to achieve a sharper definition of costs in several areas. As the decade of the 1970s moved along, the literature on costing began to grow in magnitude and frequency (American Council on Education, 1978; Gonyea, 1978; Keegan and Cohen, 1978; Minahan, 1974; Zaumeyer, 1978).

Not unexpectedly, as the fiscal planning and budgeting literature shifted its focus from narrow, internal matters within campuses to more of an open systems approach, other considerations such as the implications of the larger political process became evident. Tonn explained that disagreements are often resolved by using political power. She believed that it was essential that

political behavior facilitated the achievement of organizational effectiveness (Tonn, 1978).

A marked change in the planning literature occurred as the 1980s began with the emergence of strategic planning, market planning, and planning in the non-profit sector becoming visible and pursued with vigor. This literature is distinctive in its recognition of the influence of the external environment on higher education operations, the importance of formulating both mission and goal statements which are clear and understood even if not accepted by relevant constituencies, and pursuing viable markets in the areas of student recruitment, obtaining research dollars, and the support of external groups and agencies. The immediate acceptance of the Keller (1983) treatment of strategic market planning on a national scale and the way in which the content of this book integrates and summarizes much of the evolution of planning since 1960 serves to demonstrate the universal importance of institutions formulating their own plans and strategies for moving into the future.

Reduction, Retrenchment, and Reallocation. The final topic of reduction, retrenchment, and reallocation is referred to as the three "Rs" of the 80s (Mortimer and Tierney, 1979). As with fiscal planning and budgeting, this topic area demonstrated consistent and growing interest, as demonstrated by rate of publications, throughout the 1970s. In 1970, this was a non-issue with no publications appearing on the topic. By 1973, a number of articles had appeared with a distinct peak of publications in 1978 and again in 1981.

This literature could be characterized as having three chronological orientations. In the early 1970s the literature was oriented largely to problem recognition in that authors began to call attention to deficits, the nature and scope of the problem (Morgan Guarantee Survey, 1971). Next and

continuing throughout the decade were cases and commentaries about possible cures for deficit problems and how varying responses and actions might alleviate the problem. The literature in this area can be further divided into institutional foci and curative actions (Alm, 1977; Cherry, 1978; Clagett, 1981; Ingram, 1980; Kurland, 1972; Maier, 1973; Moore, 1978; Smith, 1972; Wattenbarger, 1978; Wood, 1975), and state-level concerns and actions designed to reduce expenditures, increase the efficiency of allocations, or redistribute revenue or resources more effectively (Boutwell, 1973; Flentie, 1973; Martorana, 1975).

The most recent orientation of this literature pertains to results and implications for future management and administration. As the fiscal difficulties of higher education intensified for some and generally became more visible throughout the academy, we began to see specific instances of the impact of decline, reduction, and retrenchment. Specific examples included use of part-time faculty, encouraging faculty to consider early retirement, responsiveness to non-traditional students, sharpening campus mission and goal statements, and strategic planning.

Higher education has evolved in some distinct ways during the 1970s. No longer are the issues of reduction, retrenchment, and reallocation mere possibilities in a dim future. Many campuses are responding to these pressures, and increasingly colleges and universities are beginning to create useful and viable options for themselves. Obviously, there is no single solution for a diversity of institutions. The direction now being pursued illustrates creative and aggressive responses of management to pragmatic problems of resource scarcity, creating new markets, and institutional capacity.

Discussion of Trends

In this section, we can analyze the trends and interrelationships involving these seven topics. Essentially, three patterns begin to emerge. There is a cyclic pattern characterized by two surges of publication activity, one during the 1972-1974 period and the other at the turn of the 1970 to 1980 decade. A second pattern is demonstrated by relative consistency or growth throughout the entire decade of the 1970s. The third pattern is one where little publication activity occurred at the beginning of the decade, but by mid-decade a consistent growth rate was observed culminating in a publications peak at the turn of the decade to the 1980s. Each of these patterns will be discussed.

Cycles of Activity and Reaction. Three topics followed this cyclic pattern, and they included general trends and the economics of higher education, external funding and institutional development, and institutional financial management. Dunn explained the features of cycles:

> Cycles are nonlinear fluctuations that occur between years or longer periods of time. Cycles may be unpredictable but may also occur with persistence and regularity. While the overall pattern of a cycle is always non-linear, segments of a given cycle may be linear or curvilinear. Examples are business cycles and the "life-cycles" of government and civilizations. (p. 160)

In the instance of these three topics, we see the life-cycle of the economics and fiscal support of higher education. Early in the decade, the initial publications peak was coincident with the public debate over funding higher education, supporting institutions versus students, questions about the value and the economic return of higher education, and increasing concerns about sustaining the enterprise of higher education which largely had been expanded during the 1960s. Interestingly, there is nearly a parallel publications

trend between economics and external funding. However, institutional financial management while demonstrating the overall cyclic trend just described, also reveals another pattern which is slightly different. Overall, institutional financial management shows a trend to peak years of 1974 and 1979. There also was a decline in this topic at mid-decade. But within this cycle, there is a kind of oscillation effect. Each year from 1970 through 1976, institutional financial management exhibited the opposite pattern of general trends and economics. Further, in all but one pair of that half-decade period the direction was reversed each year. This seems to demonstrate a pronounced action-reaction pattern to institutional financial management. There do not appear to be distinct overall trends, rather more individualized surges and decline. There might be several reasons for this occurrence. First, this topic is perhaps a reflection of topical concerns which ebb and flow with each year, each annual budget cycle, or each "crisis" if you will. This tendency toward crisis management characterizes at least some of the daily operational reality of higher educational managers and administrators. Sudden declines in cash flow, state revenue, or endowment return cause rapid administrative reactions in order to stabilize the fiscal situation and carry on with operational responsibilities. Second, institutional financial management demonstrated wide variability in content at different periods within the 1970s. Initially, there were concerns about expenditure control, and later issues involving faculty and other personnel. At the end of the decade, more attention was being given to allocation and revenue, rather than nearly a singular concern about limiting and controlling expenditures.

There was some surge in publications activity at the turn of the decade to the 1980s. Again, several reasons account for this extent of activity.

There were "reassessment" articles dealing with trends to be evident in the 1980s. There were reflections about the general state of higher education in light of the difficult decade of the 1970s. Some of these reflections were essentially positive and somewhat optimistic (Bowen, 1982), but then again some reflections were much more pessimistic if not prophesying doom for higher education unless certain conditions could be met or actions occurred (Ashworth, 1979).

Stability or Relative Growth in Concern. Another distinct trend was that of either stability in the instance of the topic of governmental fiscal support, or relative growth as reflected in the topic of student financial aid. In a sense, this trend in these two topic areas was not unexpected, since it was clear in the general higher education literature that the decade of the 1970s was characterized by increased governmental involvement in the support of higher education. These two topics of course are at the core of this relationship between government and higher education.

In the topic of governmental fiscal support, it is clear that there were four pieces of major federal legislation pertaining to funding which affected higher education greatly during the decade. These included the Education Amendments of 1972, the Higher Education Reauthorization of 1976 and 1980, and the Middle Income Student Assistance Act of 1978. This is a virtual match with the publications peaks in this topic during the decade. This trend is clear, and one might expect it to continue. The Carnegie Commission observed that the most major potential changes in higher education would emanate from governmental policy, and the publications record in this topic is clear evidence of that observation (Carnegie Foundation, 1975).

In student financial aid, one might view this as a subset of the larger governmental issue. We realized that the volume of publications pertaining to student financial aid would warrant a separate treatment. Indeed, student financial aid was by far the most lengthy chapter in the book of annotations. The topic could have been divided further into discrete issues such as loans, scholarships, and the impact of financial aid on academic performance or retention. We chose to treat all more specific concerns within the general rubric of student aid. Its record throughout the 1970s demonstrates quite clearly some concern at the beginning of the decade, but a steadily growing concern about student aid with a distinct peak of production of publications in 1980.

In summary, the trend of concern about government and higher education is established, and all indications are that the trend will continue. Its major peaks of concern will tend to be oriented around major pieces of not only federal legislation (such as M.I.S.S.A. and Reauthorization), but also the pattern will become more evident at the state level with such issues as resource competition, institutional capacity, public-private issues, and innovative budgeting schemes.

Issues of the 1970s. The previous issues, topics, and trends indicate the varying degree of continuing concern (with high and low points of concern and publications production) with ongoing matters in higher education. These include governmental support, student aid, ways in which institutions might be managed more efficiently or effectively, and more global concerns about higher education benefits, income redistribution, and demand-supply relationships. The topics of fiscal planning and budgeting, and reduction-retrenchment-reallocation are essentially issues of the 1970s. This was quite clearly the

case with reduction, retrenchment, and reallocation which, in the 1960s, might have been either a figment of the imagination of a depressed administrator or a bad dream. During the 1970s, however, this issue became reality. Indeed, by the end of the 1970s many administrators were spending a lot of time, even a disproportionate amount of their time, wrestling with resource reallocation, saving faculty lines, creating budgetary miracles out of chaos, and figuring out any alternative to departments being "tenured in."

Fiscal planning and budgeting, obviously, did not emerge as an issue with the arrival of the 1970s. As the 1970s began, there were concerns and a relatively consistent stream of publications dealing with such issues as PPBS, planning to control costs and expenditures, and statewide master planning, to name only three. As the decade unfolded, however, new concerns in planning began to emerge. These issues included the integration of fiscal and academic planning, the need of using management information systems more effectively, politics of planning and budgeting, public accountability, costing, and evaluation. By the end of the 1970s, an entirely new conceptualization of planning began to emerge and this was the area of strategic or market planning.[1] Strategic planning is the continuous process of making vital (as opposed to routine) decisions, implementing them, and monitoring their effectiveness over time. Different from long-range planning, which is usually found in higher education, it is market rather than institution oriented (Kotler and Murphy, 1981).

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[1] We do not claim that strategic or market planning was unique to higher education. Market planning was well developed by Kotler who, in 1974, brought it to the attention of the private sector as well as the academic community. Kotler, a pioneer in this area, outlined specific marketing strategies that an organization can systematically use in order to plan for the future.

Emerging Issues and Trends

The three basic patterns of publications activity identified and discussed in this analysis will probably continue during the 1980s. While the patterns may remain relatively stable, the illustrative issues for each pattern may change. The cyclic pattern, for instance, will likely continue and be represented by governmental concerns about higher education. Foci will be major pieces of legislation at both federal and state levels, but in general the trend will be cyclical.

Continuing areas of concern, thus publications activity, will include the topics of planning, budgeting, and student aid. These issues emerged largely with the 1970s, and they will likely reach some degree of maturity in the 1980s. Planning will continue to be directed external to higher education as markets and clients ebb and flow with larger conditions and realities. Budgeting will attempt to create more options for institutions such as roll-overs in portions of state appropriations, and developing aid formulas more sensitive to periods of level enrollment. Student aid will continue to examine impact and effects, there will be attention to creative packaging of aid, and options for tuition payment and securing student loans will become more diverse as well as numerous.

The issues of the 80s are still evolving. The directions of creative financing, aggressive market planning, and responsive institutional management are likely targets for renewed interest and, therefore, publications activity. The institutions willing to initiate these mechanisms and continue market-oriented strategies may well be the institutions in the most viable position at the end of the 1980s.

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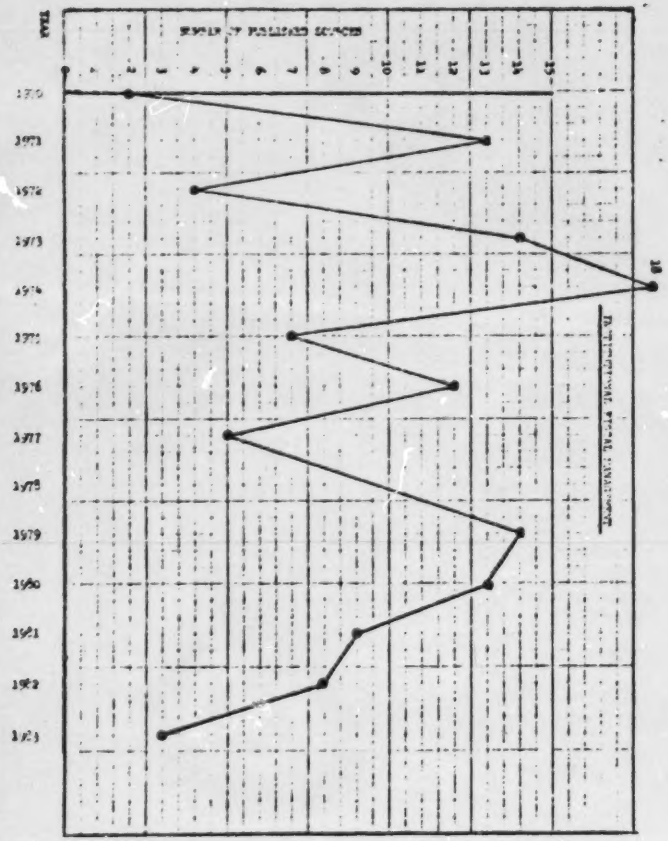
INSTITUTIONAL FISCAL MANAGEMENT



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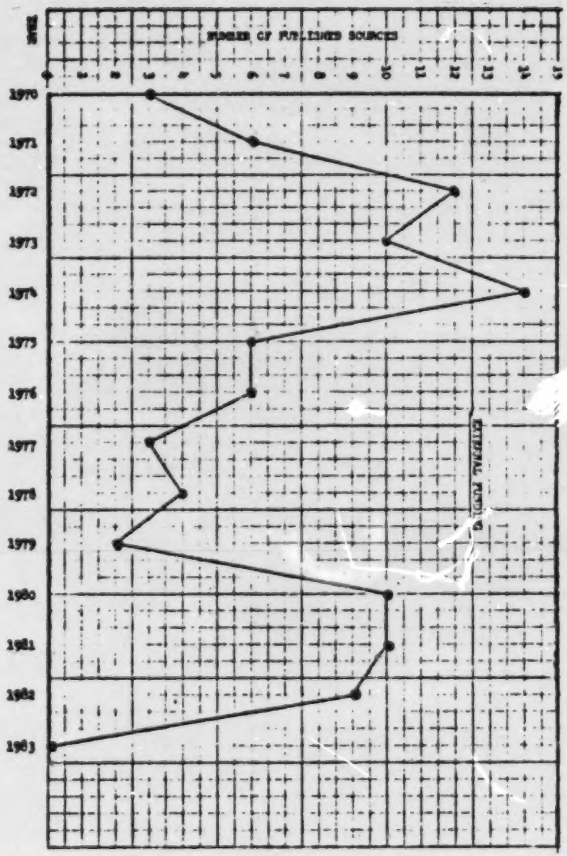

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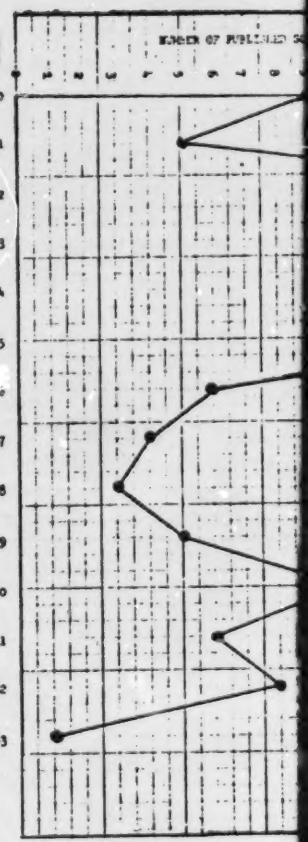

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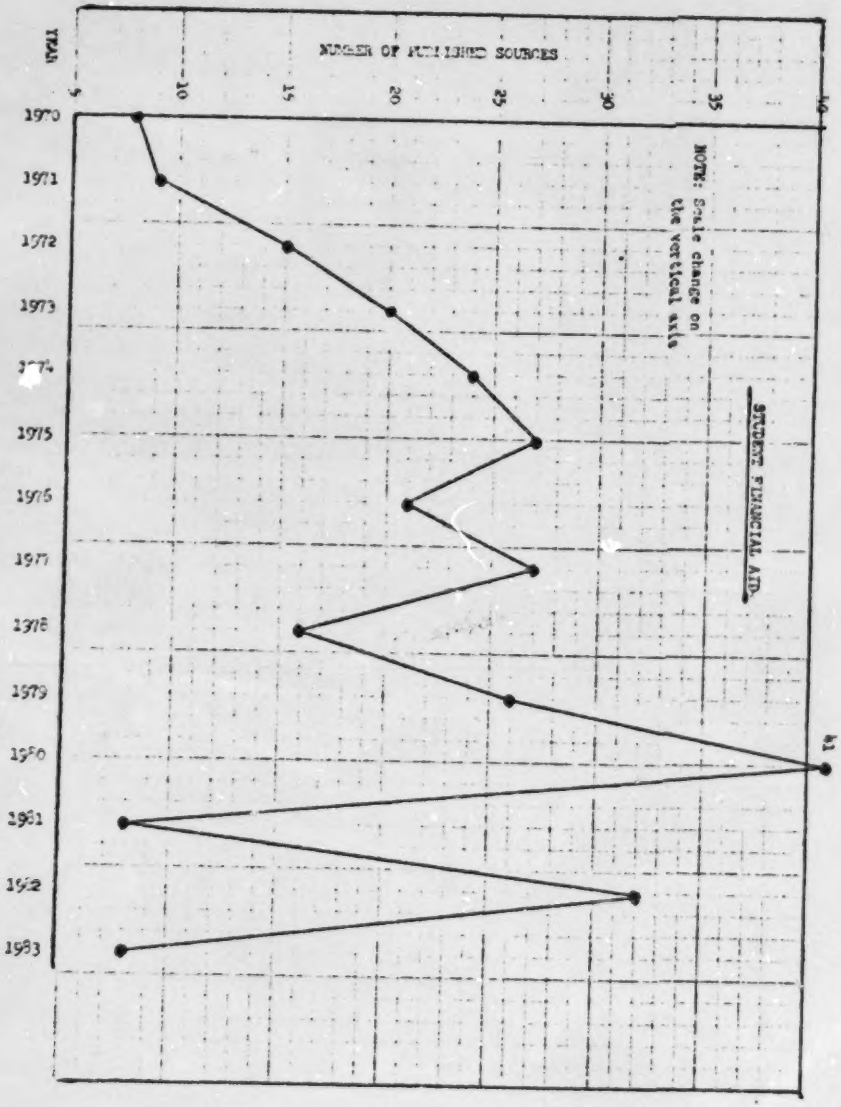

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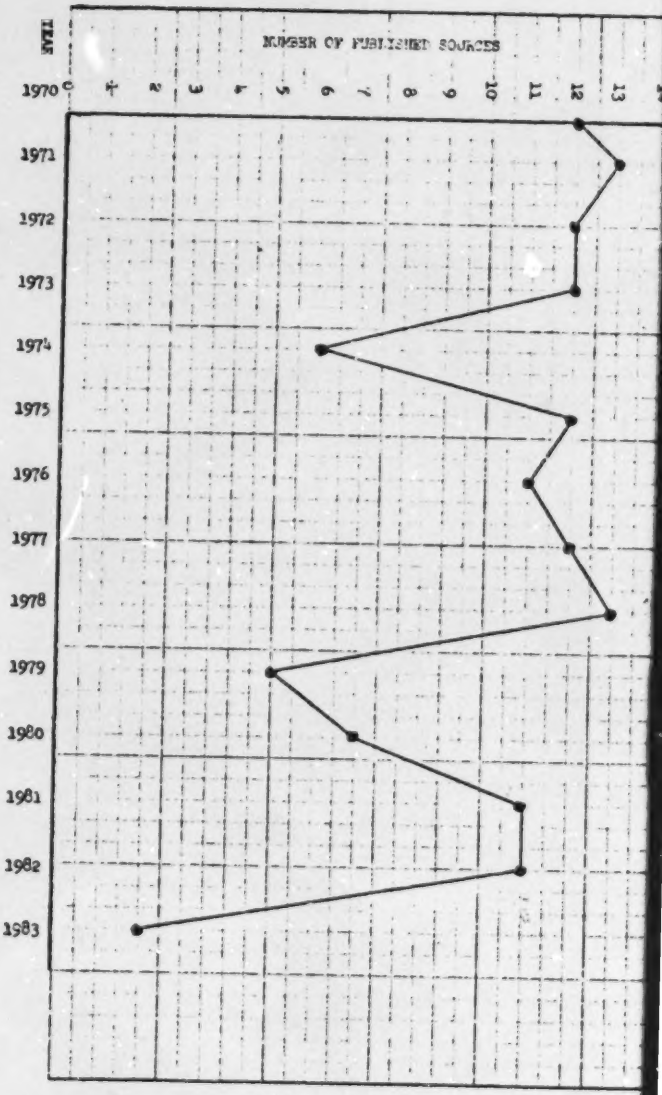

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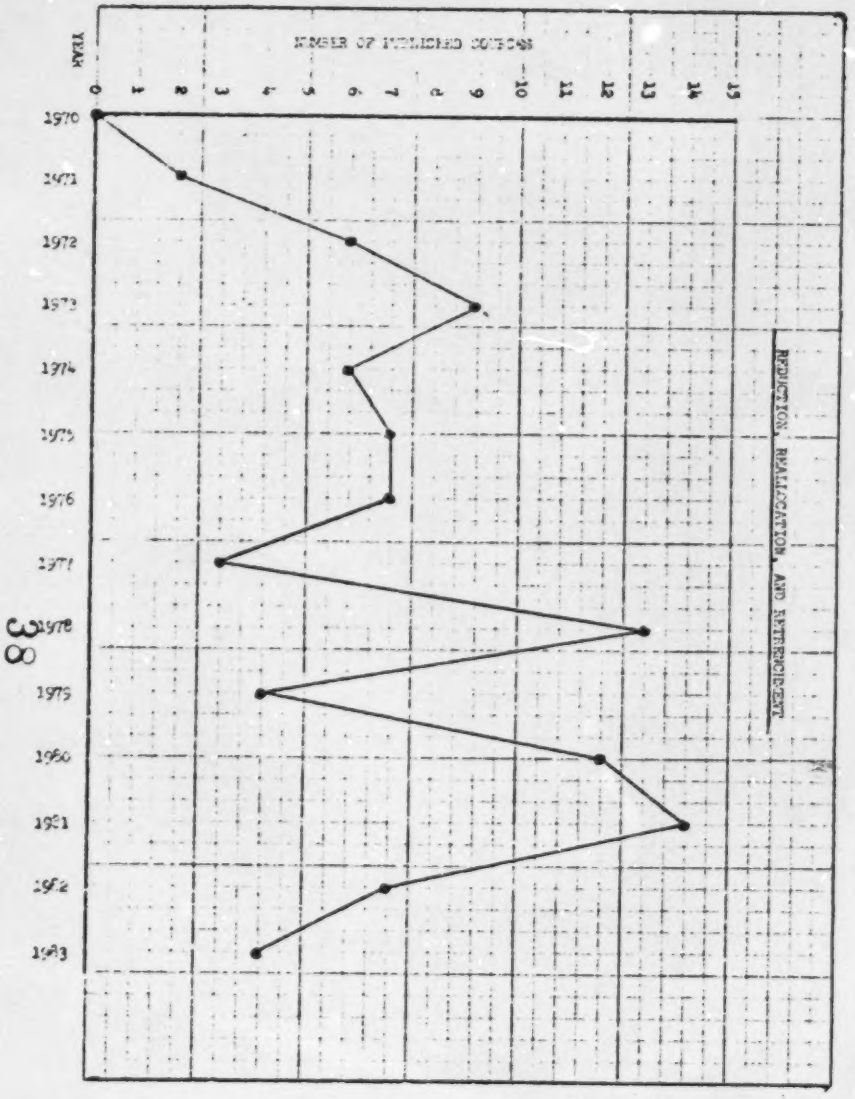

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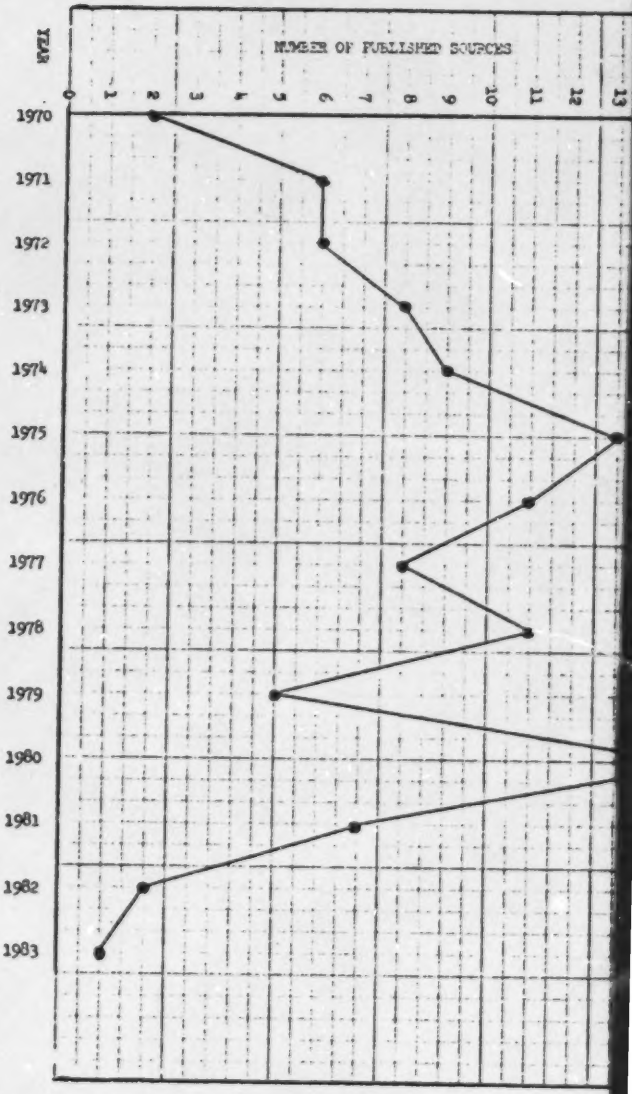

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